

Replacement Sheet
Appln. No. 09/533,088
Network-Based Trading System and Method
Miral Kim-E
SSJR File 03284-P0001B

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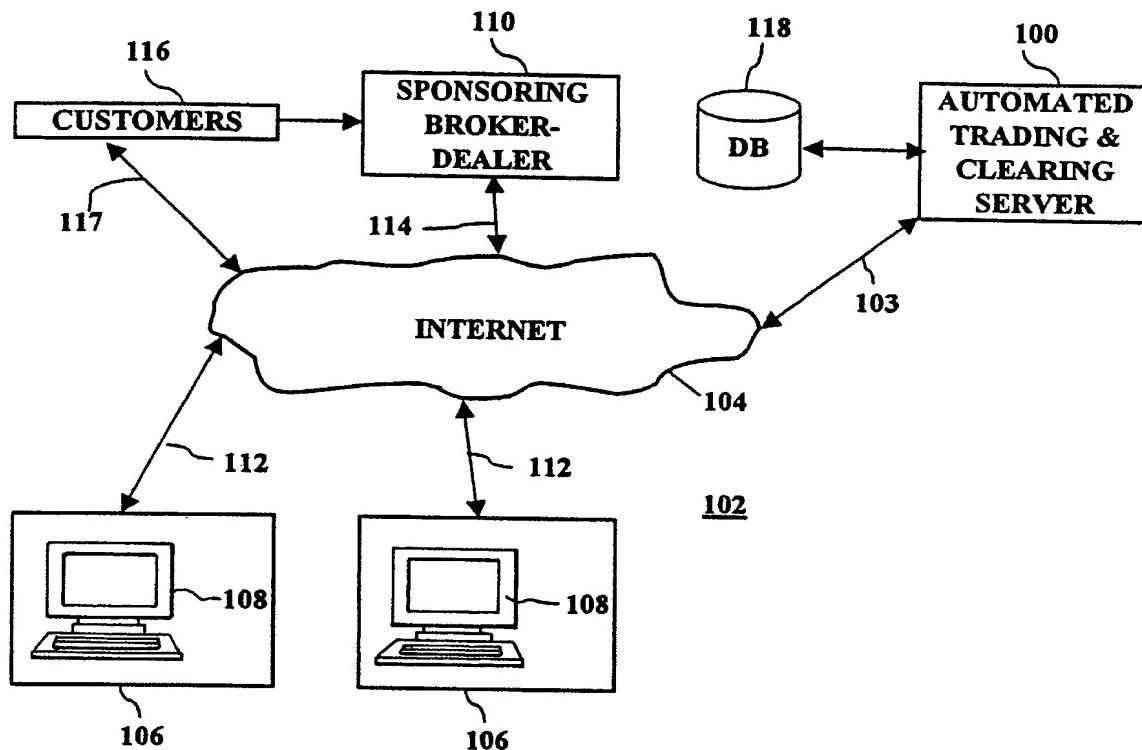
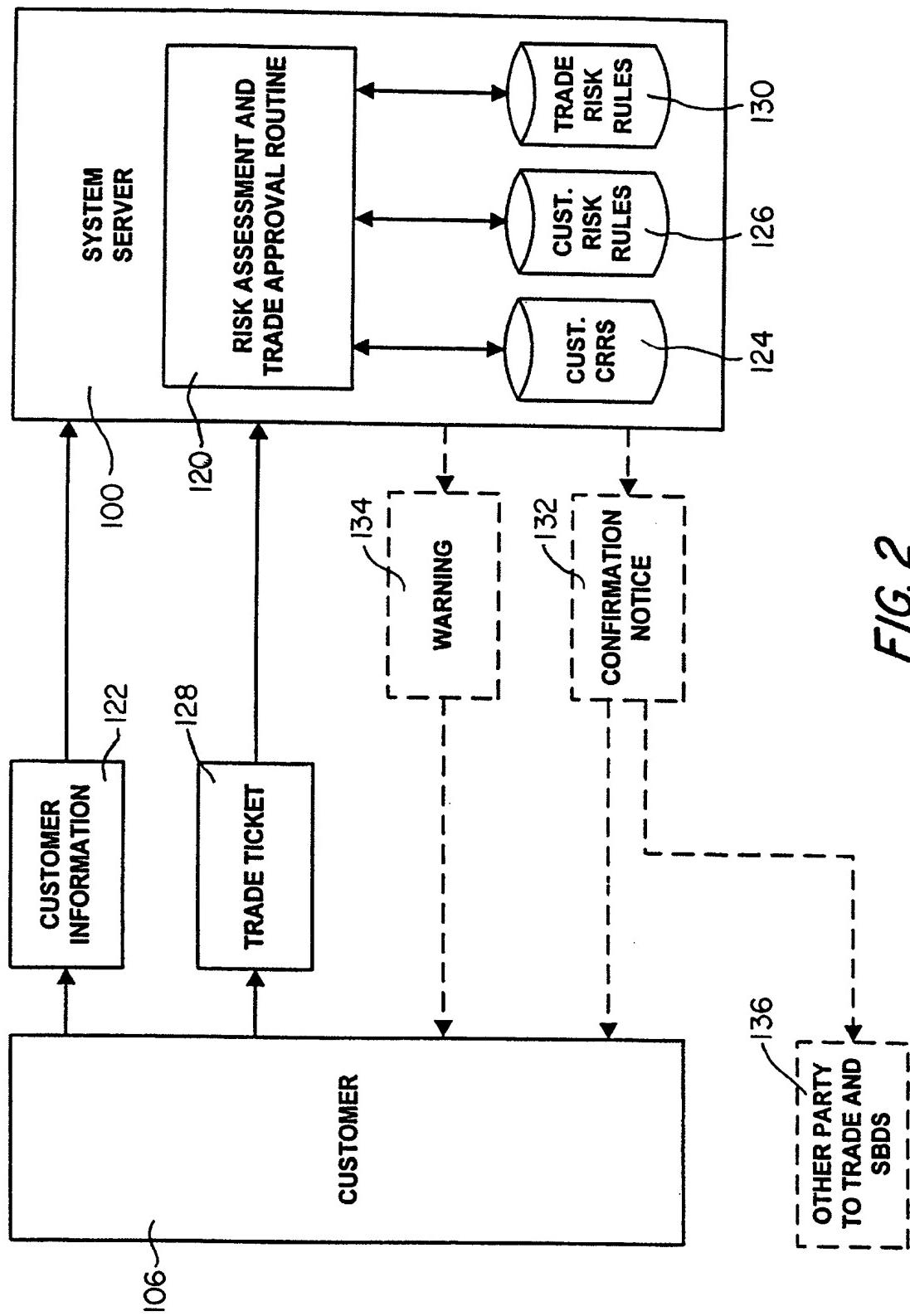


FIG. 1

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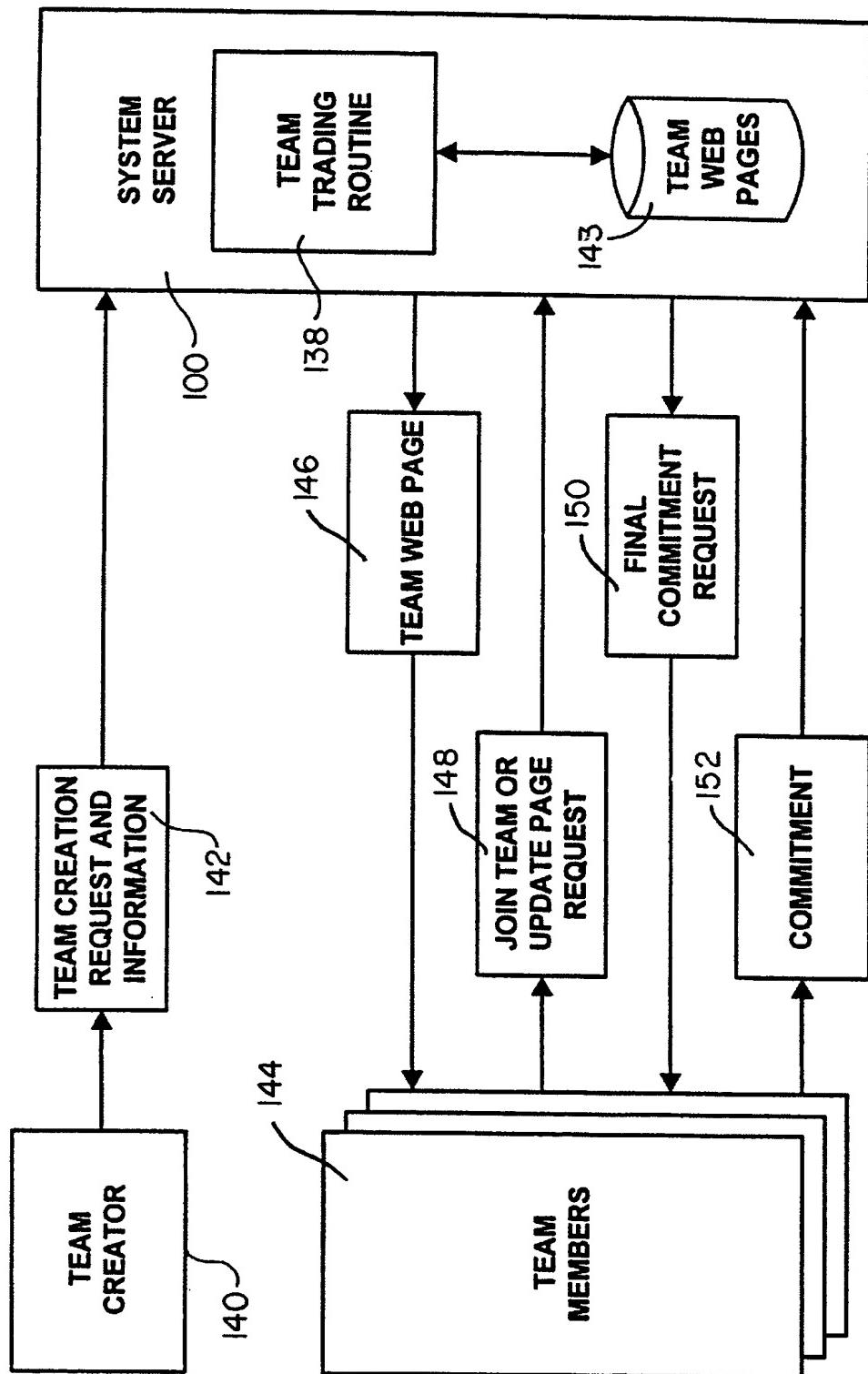


FIG. 3

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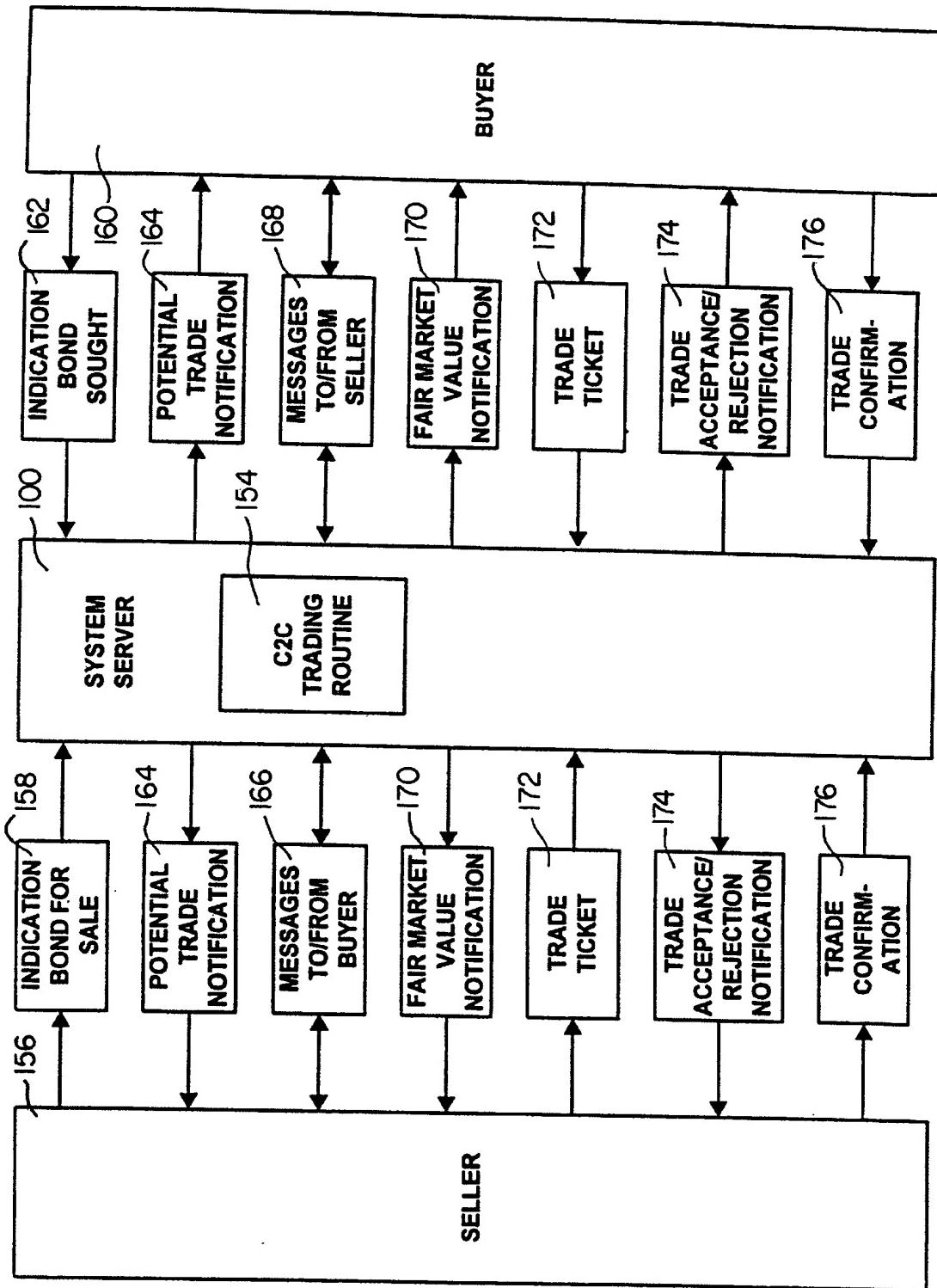


FIG. 4

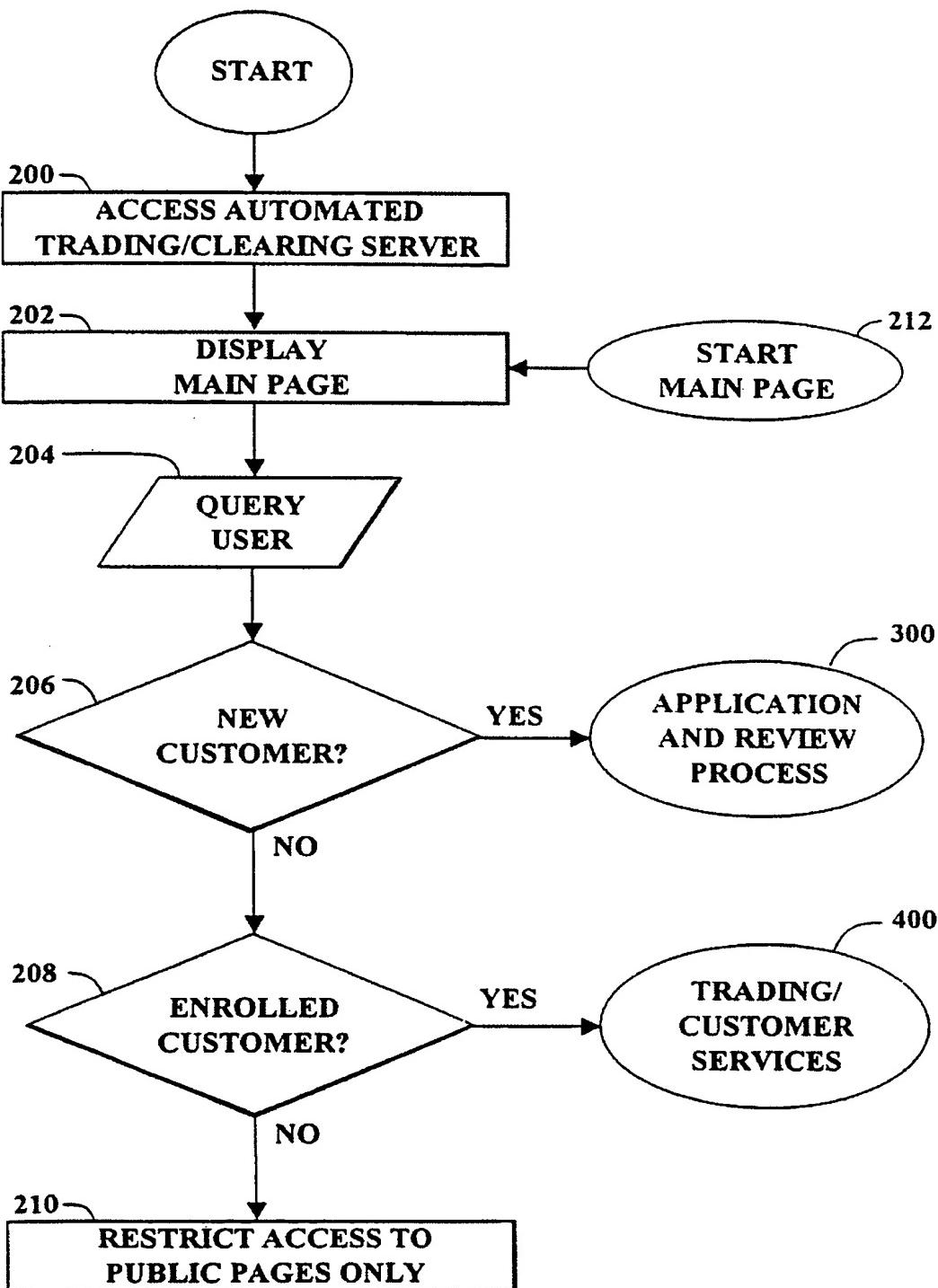


FIG. 5

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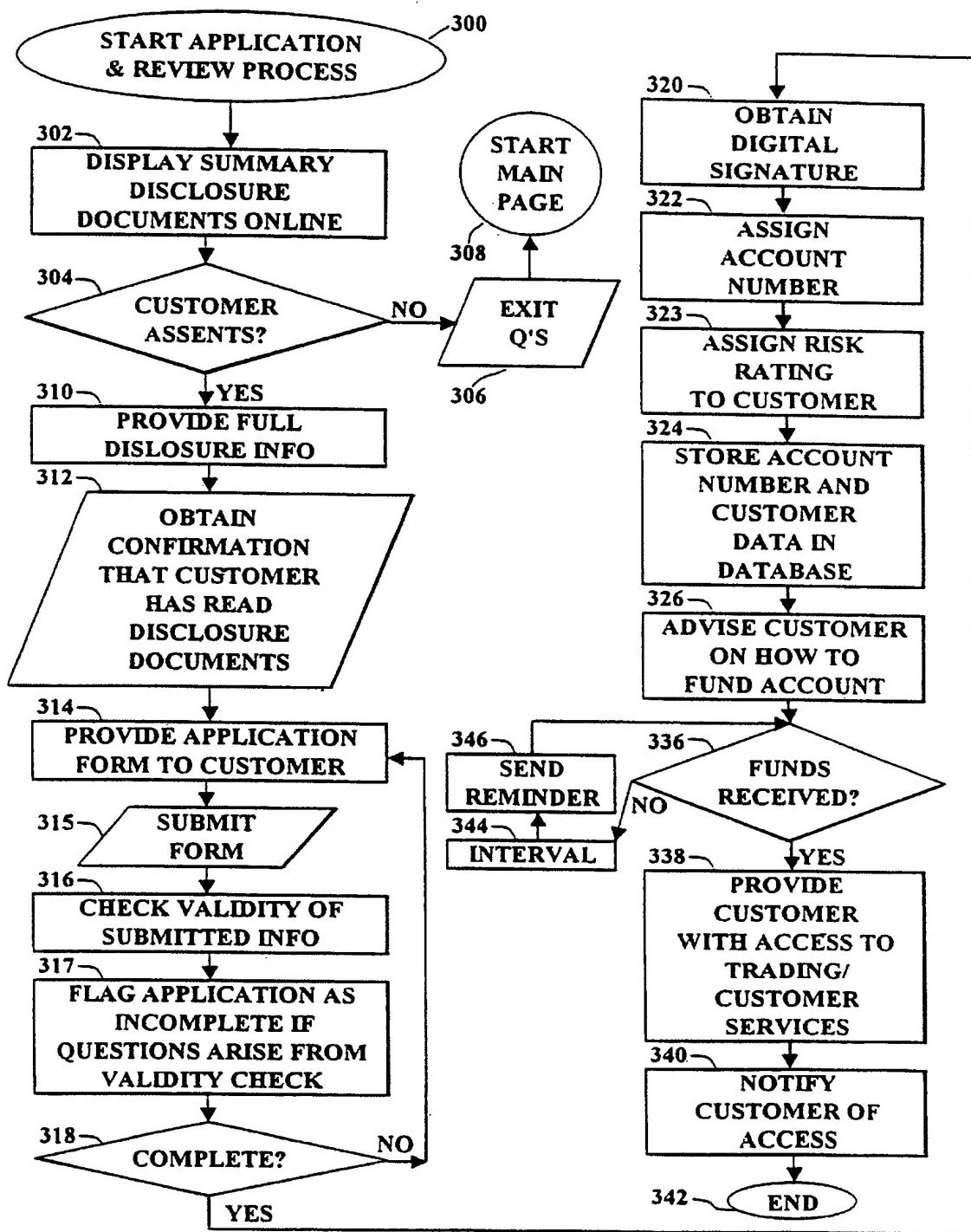


FIG. 6

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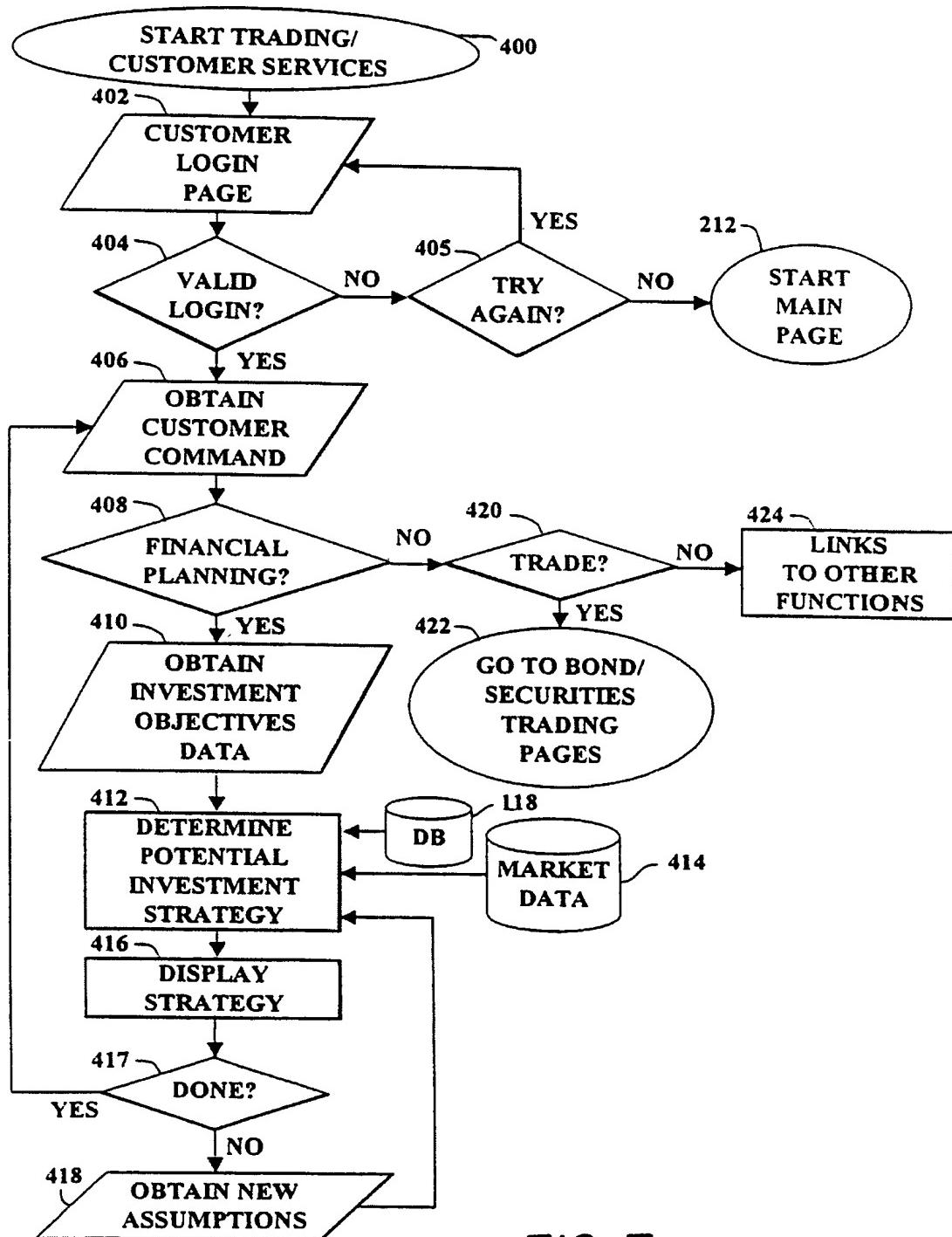


FIG. 7

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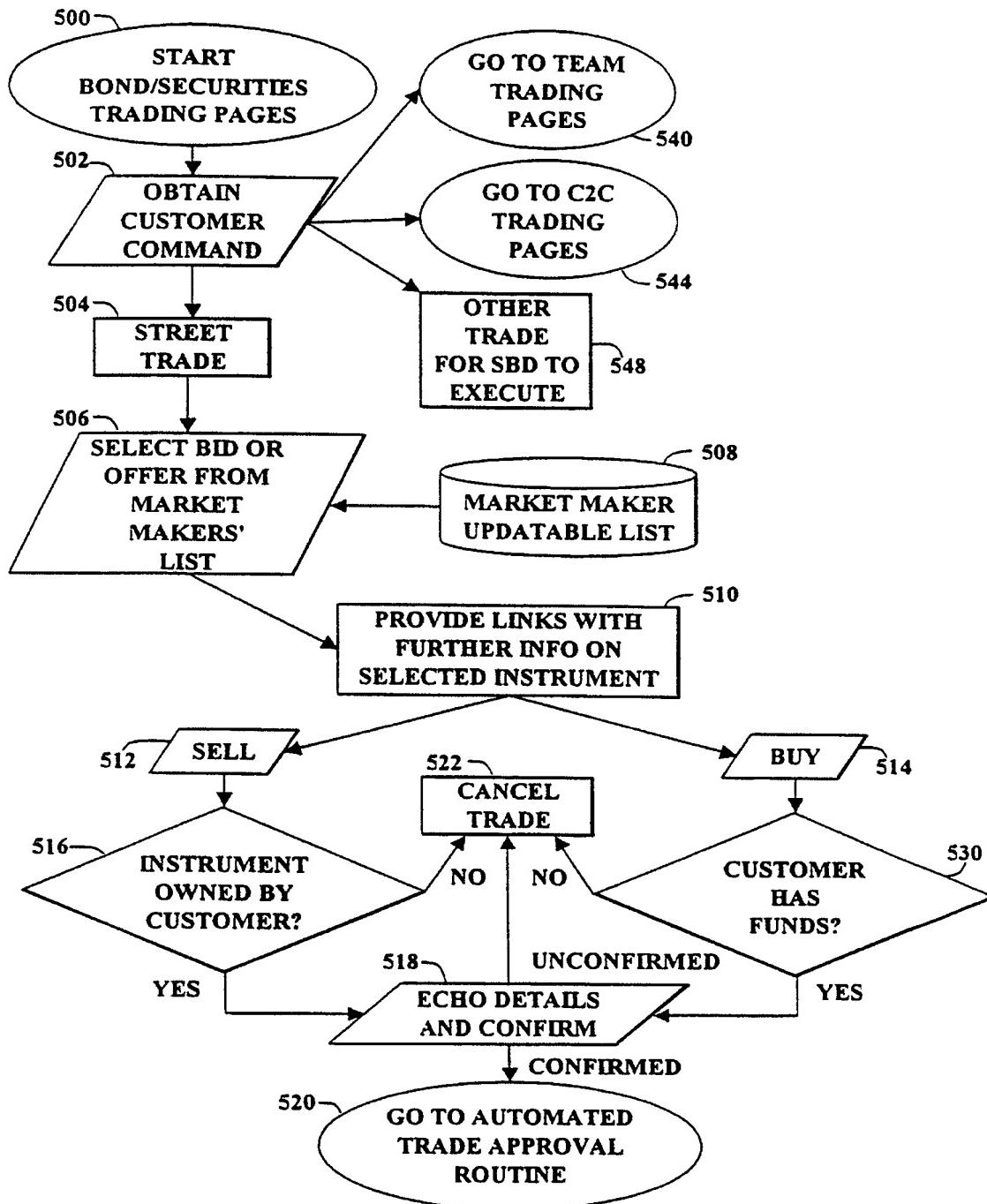


FIG. 8

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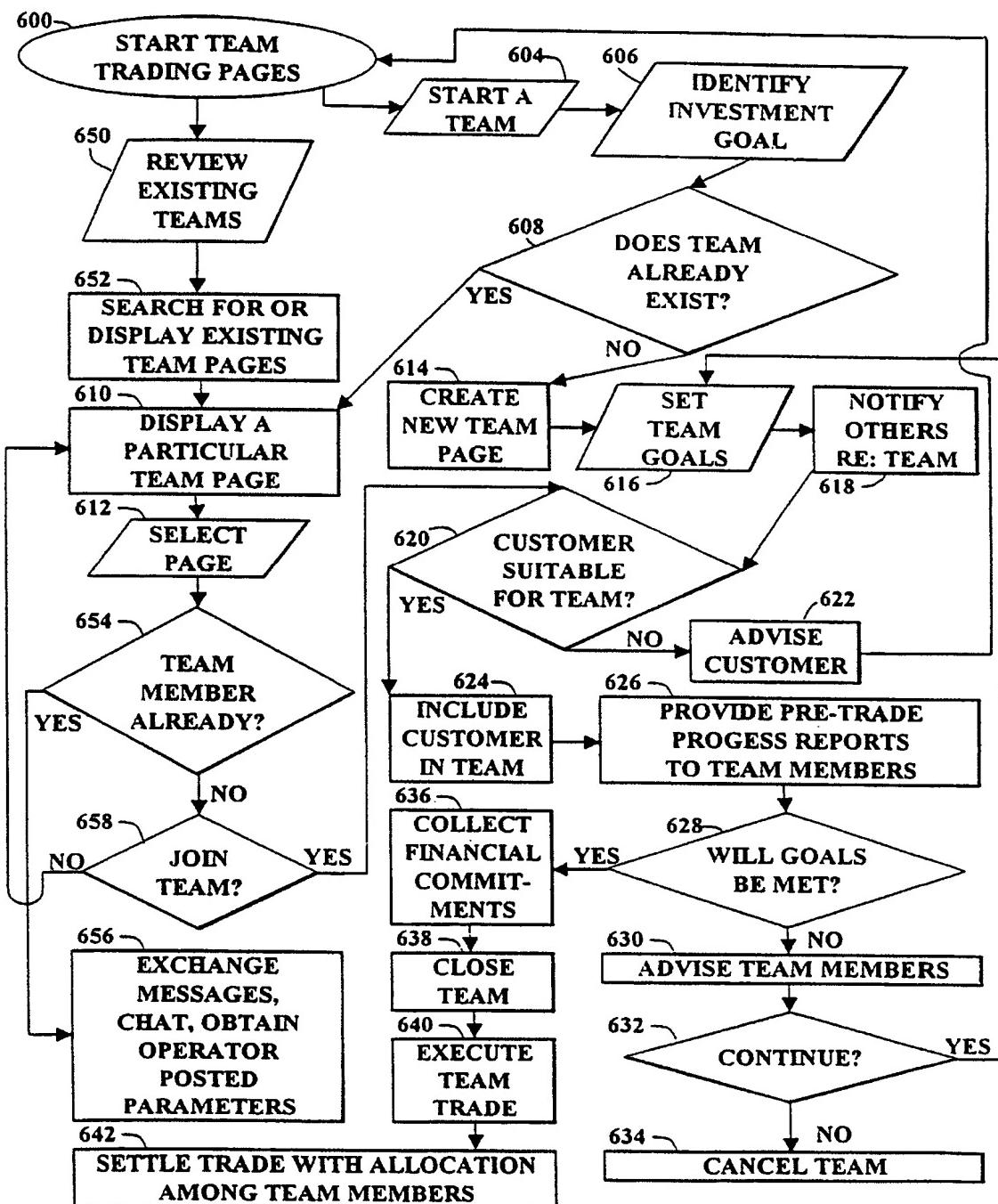


FIG. 9

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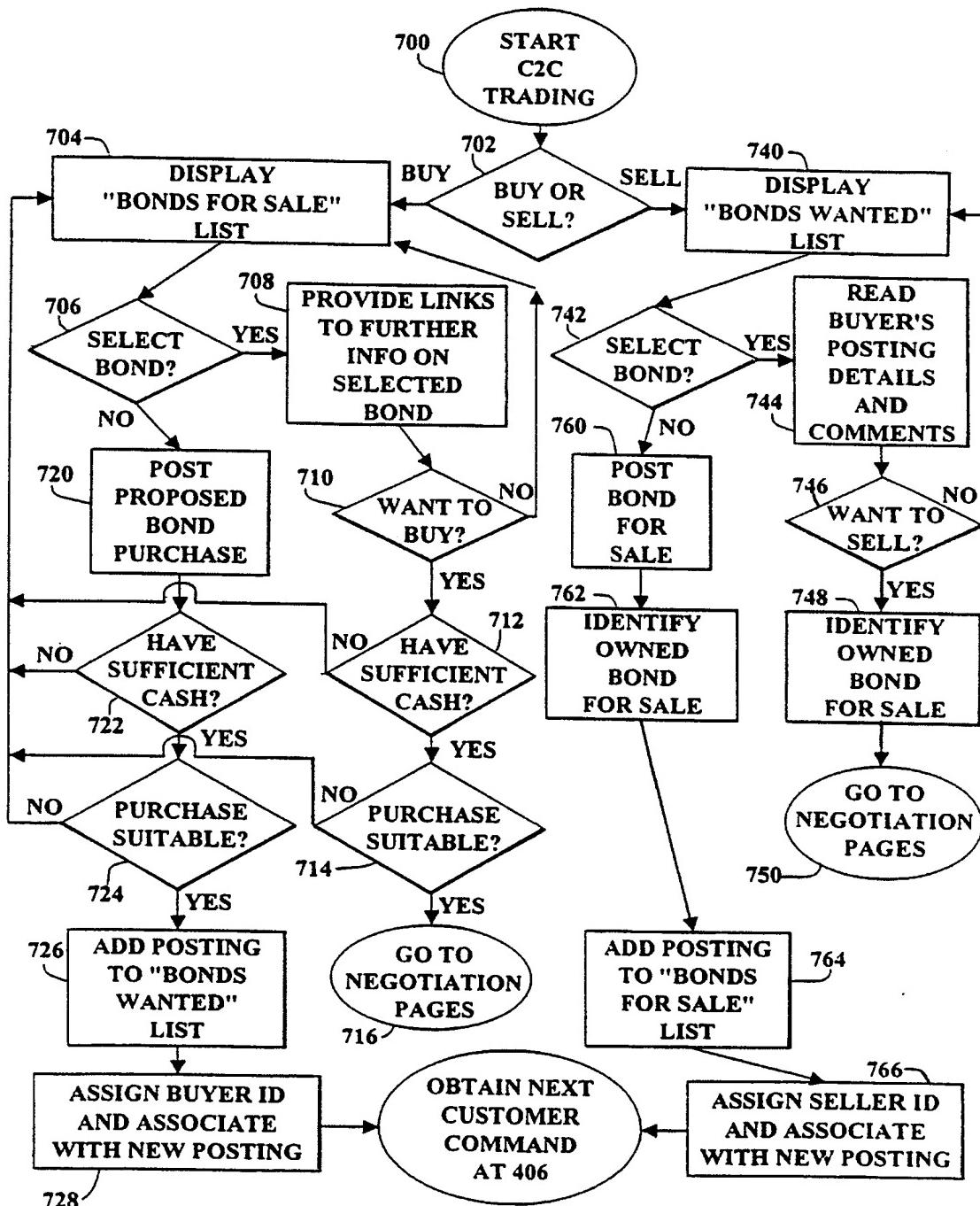


FIG. 10

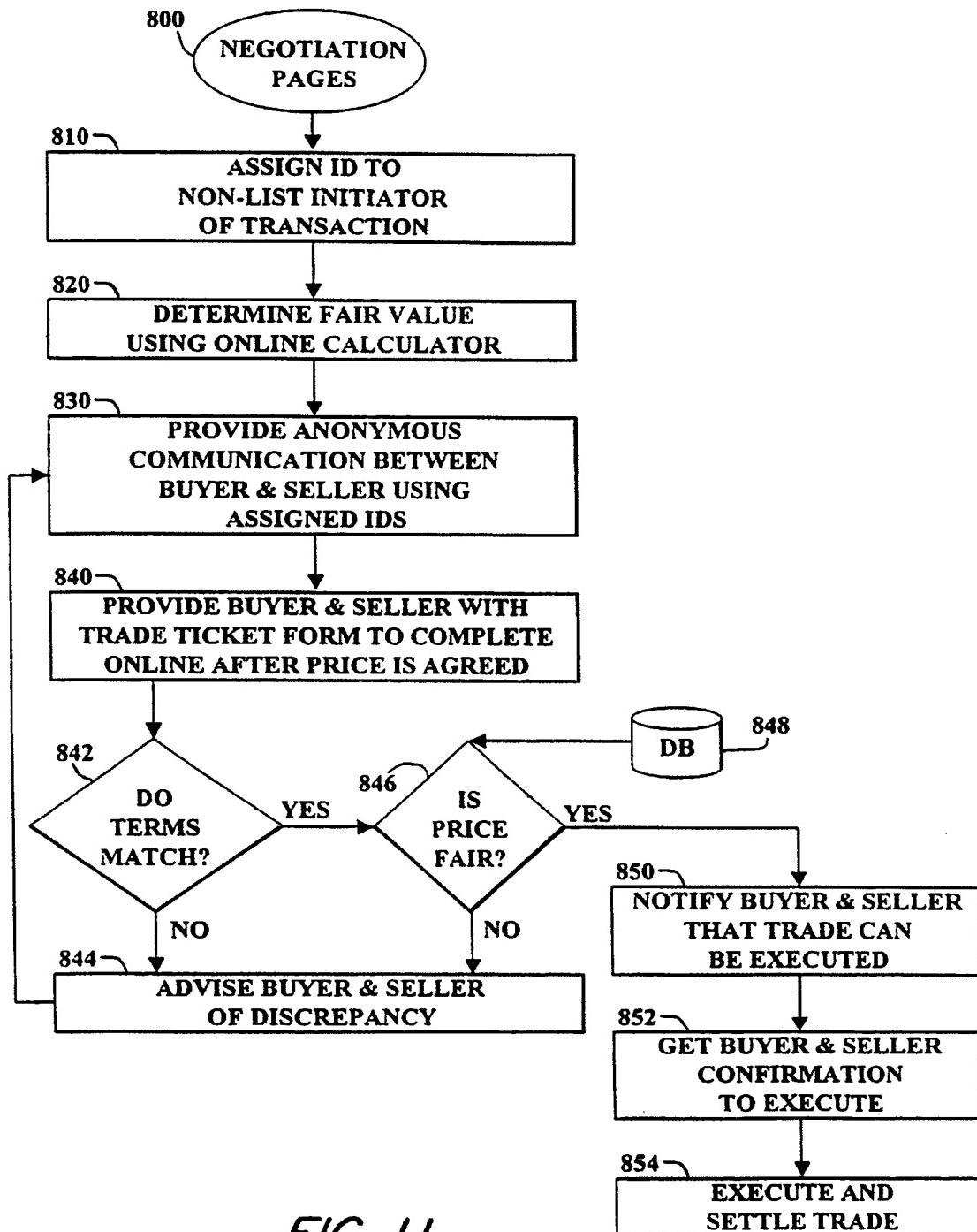


FIG. 11

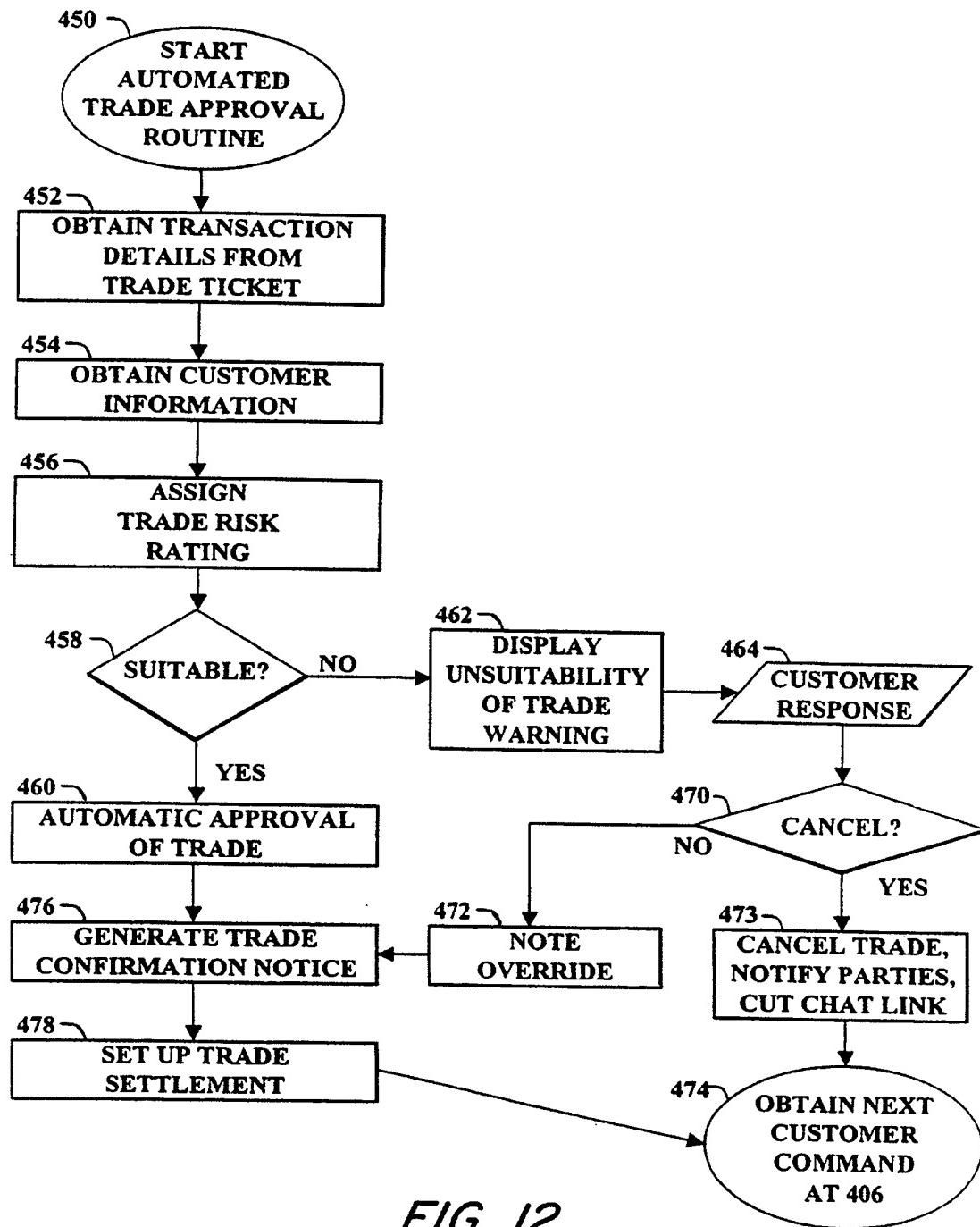


FIG. 12

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Trade No. 588623009	
Account #	DEF678901234
Status	Executed
Buy/Sell	Buy
Amount	\$10,000
Security name	Georgia Power 8% due 1/15/2010
Security type	Corp bond
CUSIP No.	BF10905305
Execution method	C2C
Market/Limit	n/a
Limit price	n/a
Time limit	n/a
Order time	n/a
Trade date	4/19/1999
Settlement date	4/22/1999
Price	102.25%
Accrued interest	\$215.56
Gross amount	\$10,440.56
Commission	\$75.00
SEC fee	\$0.00
Tax	\$0.00
Service charge	\$0.00
Net amount	\$10,515.56
Execution market	C2C
Sponsoring BD	X, Y and Z Partners

FIG. 13

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Team Investing

1100

Click on the Team Name for more Team info.

Click here to Start a New Team.

1102

Active Teams					
Team Number	Name (click for more details)	Goal	Number Of Members	Current Commitments	Target Execution Date
T01123	The Broke Parents Club	Send our kids to a grossly overpriced college in 10-14 years	42	\$835,000	1/1/2000

1114

1112

1104

1106

1108

1110

FIG. 14

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If you want to Start a New Team, submit your idea using the form below:																					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2" style="text-align: left; padding: 2px;"> Start a New Team </td> </tr> <tr> <td style="width: 15%; vertical-align: top; padding: 2px;"> Give your Team a name <input type="text"/> </td> <td style="width: 85%; vertical-align: top; padding: 2px;"> 1202 </td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"> 1204 Action </td> <td style="vertical-align: top; padding: 2px;"> <input type="radio"/> Buy a Security or similar category of securities <input type="radio"/> Sell a Security or similar category of securities <input type="radio"/> Implement an Investment or Hedging Strategy </td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"> 1206 Describe the Team's goal (be brief) <input type="text"/> </td> <td style="vertical-align: top; padding: 2px;"> </td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"> 1208 How much are you interested in placing with the Team? <input type="text"/> </td> <td style="vertical-align: top; padding: 2px;"> Cash or market value of securities </td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"> 1210 When would you like to have the Team execute a trade? <input type="text"/> </td> <td style="vertical-align: top; padding: 2px;"> Specify a date or timeframe </td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"> Your Name <input type="text"/> </td> <td style="vertical-align: top; padding: 2px;"> </td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"> Account Number <input type="text"/> </td> <td style="vertical-align: top; padding: 2px;"> </td> </tr> <tr> <td style="vertical-align: top; padding: 2px;"> E-mail Address <input type="text"/> </td> <td style="vertical-align: top; padding: 2px;"> </td> </tr> <tr> <td colspan="2" style="text-align: center; padding: 2px;"> <input type="button" value="Submit My Team Idea"/> <input type="button" value="Reset"/> </td> </tr> </table>		Start a New Team		Give your Team a name <input type="text"/>	1202	1204 Action	<input type="radio"/> Buy a Security or similar category of securities <input type="radio"/> Sell a Security or similar category of securities <input type="radio"/> Implement an Investment or Hedging Strategy	1206 Describe the Team's goal (be brief) <input type="text"/>		1208 How much are you interested in placing with the Team? <input type="text"/>	Cash or market value of securities	1210 When would you like to have the Team execute a trade? <input type="text"/>	Specify a date or timeframe	Your Name <input type="text"/>		Account Number <input type="text"/>		E-mail Address <input type="text"/>		<input type="button" value="Submit My Team Idea"/> <input type="button" value="Reset"/>	
Start a New Team																					
Give your Team a name <input type="text"/>	1202																				
1204 Action	<input type="radio"/> Buy a Security or similar category of securities <input type="radio"/> Sell a Security or similar category of securities <input type="radio"/> Implement an Investment or Hedging Strategy																				
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1208 How much are you interested in placing with the Team? <input type="text"/>	Cash or market value of securities																				
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Account Number <input type="text"/>																					
E-mail Address <input type="text"/>																					
<input type="button" value="Submit My Team Idea"/> <input type="button" value="Reset"/>																					
1200	1216	1214																			
		1212																			

FIG. 15

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Bonds For Sale 1300

~~These securities are being offered for sale by other Customers. All sellers must own the securities being offered in their account. All buyers must have sufficient cash in their account to fully pay for the purchase, including any commissions.~~

If you are interested in purchasing anything listed here, contact the seller directly to start negotiation of price.

ID No.	Issuer	Amount	Ratings	Coupon	Maturity	Call Date	Call Price	Seller ID (Click to negotiate)
BF109053 05	Georgia Power	\$10,000	A/a2/A	8%	1/15/2010	1/15/ 1999	104.25	ZZZ12345

If you want to buy, but nothing here suits your needs, **CLICK HERE** to post your buying interest on the Bond Wanted List.

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FIG. 16

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Bonds Wanted

1400

~~These securities are being sought for purchase by other customers. All sellers must own the securities being offered in their account. All buyers must have sufficient cash in their account to fully pay for the purchase, including any commissions.~~

If you are interested in selling your bonds to a buyer listed here, contact the buyer directly to start negotiation of price.

Bonds Wanted	1402	1404	1406	1410	1408	1412	1416
ID No.	Issuer or Description	Amount	Rating Range	Maturity Range, yrs	Coupon Range	Callable?	Buyer ID (Click to negotiate)
BW109 04999	Electric or Telephone utility	\$10,000	A AA	10 20	5% 9%	Yes	ABC111222333

If you want to sell, but these listing are not of interest, **CLICK HERE** to post your selling interest on the Bond For Sale List.

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FIG. 17

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1500

Post a "Bond For Sale" Notice		
Your information (except personal info) will be posted exactly as typed.		
Please check it before submitting.		
1502	Issuer or Description	<input type="text"/>
1504	Amount	<input type="text"/>
1506	Ratings	<input type="text"/> S&P/Moody's/Fitch
1508	Coupon	<input type="text"/>
1510	Maturity	<input type="text"/>
1512	Call Date	<input type="text"/> ("nc" if noncallable)
1514	Call Price	<input type="text"/> ("nc" if noncallable)
1516	Your Name	<input type="text"/>
	Account Number	<input type="text"/>
	E-mail Address	<input type="text"/>
<input type="button" value="Post This"/> <input type="button" value="Reset"/>		

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FIG. 18

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1600

Post a "Bond Wanted" Notice		
Your information (except personal info) will be posted exactly as typed. Please check it before submitting.		
1602	Issuer or Description	<input type="text"/>
1604	Amount	<input type="text"/>
1606	Ratings Range	Minimum <input checked="" type="radio"/> AAA <input type="radio"/> AA <input type="radio"/> A <input type="radio"/> BBB <input type="radio"/> BB or less Maximum <input checked="" type="radio"/> AAA <input type="radio"/> AA <input type="radio"/> A <input type="radio"/> BBB <input type="radio"/> BB or less
1610	Maturity Range	Min yrs <input type="text"/> Max yrs <input type="text"/>
1608	Coupon Range	Min % <input type="text"/> Max % <input type="text"/>
1612	Callable	<input checked="" type="radio"/> Yes <input type="radio"/> No
1616	Your Name	<input type="text"/>
	Account Number	<input type="text"/>
	E-mail Address	<input type="text"/>
	Post This	<u>Reset</u>

1620 1618

FIG. 19

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Order Form

1700

You are placing a firm order for execution by MEK.
Please provide complete information.

What is your account number?	1704
What do you want to do? <input checked="" type="radio"/> Buy <input type="radio"/> Sell	1708
How much?	1710
Will you accept less than this amount? <input checked="" type="radio"/> Yes <input type="radio"/> No	1711b
If Yes: What is the minimum amount you will accept?	1711c
And, in what minimum increments?	1711c
What security?	1714
<input checked="" type="radio"/> Corporate Bond	<input type="radio"/> U.S. Agency Bond
<input type="radio"/> Municipal Bond	<input type="radio"/> Common stock
<input type="radio"/> U.S. Treasury Bond	<input type="radio"/> Stock option
If a bond:	
Issuer name:	Coupon, %:
Maturity:	
Callable? <input checked="" type="radio"/> Yes <input type="radio"/> No	If Yes, first call date:
CUSIP number:	
If a stock or stock option:	
Company name:	or ticker symbol:
If a stock option:	
Type: <input checked="" type="radio"/> Call <input type="radio"/> Put	
Strike price:	Expiration month:
At what price?	
<input type="checkbox"/> Market	<input type="checkbox"/> Limit price:
1720	1722
<input type="checkbox"/> Stop price:	1723
When?	
<input checked="" type="radio"/> Day <input type="radio"/> Market open <input type="radio"/> Market close <input type="radio"/> GTC - Good 'Til Cancelled	
If GTC, please specify a "Drop Date"	
1724	
<input type="button" value="Send order to MEK"/>	<input type="button" value="Clear this order"/>

FIG. 20